

08/05/03

16179 U.S. PTO

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PTO/SB/05 (05-03)  
Approved for use through 04/30/2003. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 1975.0010004/TJS   |
| First Inventor         | Pablo Umaña  |
| Title                  | Glycosylation Engineering of Antibodies for Improving Antibody-Dependent Cellular Cytotoxicity |
| Express Mail Label No. |  |

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents.**ADDRESS TO:**Commissioner for Patents  
Mail Stop Patent Application  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 59]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 16]
5. Oath or Declaration [Total Pages 2]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR §§  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program  
(Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☒ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☒ paper  
c. ☒ Statements verifying identity of above copies

15535 U.S. PTO  
10/633699  
08/05/03**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Two (2) Return Receipt Postcards (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)  
☒ Other: The name of the assignee is: Glycart Biotechnology AG

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/294,584  
Prior application information: Examiner Sandals, William O. Group/Art Unit: 1636

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number 26111or ☐ Correspondence address below

|         |   |           |  |          |  |
|---------|---|-----------|--|----------|--|
| NAME    | STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. |           |  |          |  |
|         | Attorneys at Law                          |           |  |          |  |
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|                   |                             |                                   |                |
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| NAME (Print/Type) | Timothy J. Shea, Jr.        | Registration No. (Attorney/Agent) | 41,306         |
| SIGNATURE         | <i>Timothy J. Shea, Jr.</i> | Date                              | August 5, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

SKGF Rev 5/16/03 mac #164380v1&lt;SKGF\_DC1&gt;-1975.0010004-Utility Patent Application Transmittal wpd



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August 5, 2003

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Mail Stop Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
(Divisional of Appl. No. 09/294,584; Filed April 20, 1999)

Appl. No. To be Assigned; Filed: Herewith

For: **Glycosylation Engineering of Antibodies for Improving  
Antibody-Dependent Cellular Cytotoxicity**

Inventors: UMAÑA *et al.*

Our Ref: 1975.0010004/TJS

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
2. U.S. Utility Patent Application entitled:

**Glycosylation Engineering of Antibodies for Improving  
Antibody-Dependent Cellular Cytotoxicity**

and naming as inventors:

Pablo Umaña  
Joël Jean-Mairet  
James E. Bailey

the application consisting of:

- a. An Application Data Sheet (37 C.F.R. § 1.76);

- b. A copy of the executed combined Declaration and Power of Attorney, as originally filed in U.S. Appl. No. 09/294,584;
  - c. A specification containing:
    - i. 47 pages of description prior to the claims;
    - ii. 11 pages of claims (85 claims);
    - iii. a one (1) page abstract;
  - d. 16 sheets of drawings: (Figures 1-3, 4A-4B, 5A-5B, 6A-6D, 7A-7B, 8-13, 14A-14B and 15); and
  - e. 4 pages of a paper copy of a sequence listing;
- 3. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3);
  - 4. A copy of the executed Revocation of Prior Power of Attorney and Appointment of New Attorneys of Record and Change of Address, as filed in U.S. Appl. No. 09/294,584;
  - 5. A Preliminary Amendment;
  - 6. A computer readable copy of the sequence listing. In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above application are the same; and
  - 7. Two (2) return postcards.

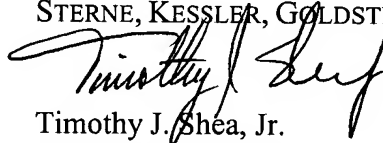
In accordance with 37 C.F.R. § 1.821(f), the paper copy of the sequence listing and the computer readable copy of the sequence listing submitted herewith in the above application are the same.

Commissioner for Patents  
August 5, 2003  
Page 3

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Timothy J. Shea, Jr.  
Attorney for Applicants  
Registration No. 41,306

TJS/slw  
Enclosures

::ODMA\MHODMA\SKGF\_DC1;164314;1  
SKGF Rev. 2/12/02 dcw; 9/5/02 mac; 4/29/03 svb



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

UMAÑA *et al.*

Appl. No. To be Assigned

Filed: Herewith

For: **Glycosylation Engineering of  
Antibodies for Improving  
Antibody-Dependent Cellular  
Cytotoxicity**

Confirmation No. To be Assigned

Art Unit: To be Assigned

Examiner: To be Assigned

Atty. Docket: 1975.0010004/TJS

**Authorization To Treat A Reply As Incorporating An Extension Of  
Time Under 37 C.F.R. § 1.136(a)(3)**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Timothy J. Shea, Jr.  
Attorney for Applicants  
Registration No. 41,306

Date: August 5, 2003

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